

NVB 3001 (Effective 1/21)

**UNITED STATES BANKRUPTCY COURT FOR THE DISTRICT OF NEVADA**

**PROOF OF  
INTEREST**

Name of Debtor: <b>META MATERIALS, INC.</b>	Case Number: <b>24-50792</b>	<b>RECEIVED AND FILED</b>  <b>DEC 16 2024</b>  <b>U.S. BANKRUPTCY COURT</b> <b>MARYA SCHOTT, CLERK</b>
1. Name and address of holder of the Equity Interest (the person or entity holding an Equity Interest in the Debtor. Referred to hereinafter as the "Interest holder"):  <b>Dzung Vu</b> <b>12 Chateau Circle</b> <b>Riviera Beach, FL 33404</b> Telephone Number: <b>(561) 993-0713</b>	<input type="checkbox"/> Check box if you are aware that anyone else has filed a proof of interest relating to your interest. Attach copy of statement giving particulars.  <input checked="" type="checkbox"/> Check box if you have never received any notices from the bankruptcy court or the Debtors in this case.  <input type="checkbox"/> Check box if this address differs from the address on the envelope sent to you by the Debtors.	
<p><b>NOTE:</b> This form SHOULD NOT be used to make a claim against the Debtor for money owed. A separate Proof of Claim form should be used for that purpose. This form should only be used to assert an Equity Interest in the Debtor. An Equity Interest is any right arising from any capital stock and any equity security in any of the Debtor. An equity security is defined in the Bankruptcy Code as (a) a share in a corporation whether or not transferable or denominated stock or similar security, (b) interest of a limited partner in a limited partnership, or (c) warrant or right other than a right to convert, to purchase, sell, or subscribe to a share, security, or interest of a kind specified in subsection (a) or (b) herein.</p>		
Account or other number by which Interest holder identifies Debtor: <b>SWV-22235-11</b>		Check here if this claim: <input type="checkbox"/> replaces a previously filed Proof of Interest dated: _____ <input type="checkbox"/> amends a previously filed Proof of Interest dated: _____
2. Name and Address of any person or entity that is the record holder for the Equity Interest asserted in this Proof of Interest:  <b>Dzung Vu</b> <b>1330 W. Fulton St. Suite 600, Chicago,</b> Telephone Number: <b>888-247-1963 IL, 60607</b>		3. Date Equity Interest was acquired:  <b>BETWEEN: 06/23/2021 - 07/23/2021</b> <b>SEE ATTACHED DOCUMENTATION</b>
4. Total amount of member interest: <u>1,000 shares for \$20,000</u>		5. Certificate number(s): <u>SEE ATTACHED DOCUMENTATION</u>
6. Type of Equity Interest: Please indicate the type of Equity Interest you hold: <input checked="" type="checkbox"/> Check this box if your Equity Interest is based on an actual member interest held in the Debtor. <input type="checkbox"/> Check this box if your Equity Interest is based on anything else and describe that interest: Description: <u>INVESTOR</u>		
7. Supporting Documents: Attach copies of supporting documents, such as stock certificates, option agreements, warrants, etc. DO NOT SEND ORIGINAL DOCUMENTS. If the documents are not available, explain. If the documents are voluminous, attach a summary.		
8. Date-Stamped Copy: To receive an acknowledgement of the filing of your Proof of Interest, enclose a stamped, self-addressed envelope and copy of this Proof of Interest.		
9. Signature: Check the appropriate box. <input checked="" type="checkbox"/> I am the creditor. <input type="checkbox"/> I am the creditor's authorized agent. (Attach copy of power of attorney, if any.) <input type="checkbox"/> I am the trustee, or the debtor, or their authorized agent. (See Bankruptcy Rule 3004.) <input type="checkbox"/> I am a guarantor, surety, endorser, or other codebtor. (See Bankruptcy Rule 3005.)		
I declare under penalty of perjury that the information provided in this claim is true and correct to the best of my knowledge, information, and reasonable belief. Print Name: <u>Dzung Vu</u> Title: _____ Company: _____ Address and telephone number (if different from notice address above): _____		
(Signature) <u>Dzung Vu</u> (Date) <u>12/09/2024</u>		Telephone number: <u>561-993-0713</u> email: <u>zoomvu1@gmail.com</u>

**Penalty for presenting fraudulent claim is a fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 AND 3571.**

PROOF OF INTEREST SUPPLEMENTAL INFORMATION:  
CASE: 24-50792, META MATERIALS, INC.  
FOR: DZUNG VU

BROKER: Tastytrade, Inc.

ACCT #: 5WV-22235-11

TRANSACTIONS [Pre-Reverse Split]:

06/23/2021 Purchased +2,000 Shares \$10.00 per share [\$20,000.00 Total Invested]

Total Shares Held Pre-Reverse Split: 2,000 Shares [1,000 Shares After Post Reverse Split]

Total Monies Invested Pre-Reverse Split: \$20,000.00

TRANSACTIONS [Post-Reverse Split]:

06/25/2021 Rev Split -2,000 Shares \$0.00 per shares [Corp Action, No Cash]

06/25/2021 Rev Split +1,000 Shares \$0.00 per shares [Corp Action, No Cash]

07/14/2021 Sold -1,000 Shares \$4.30 per share [\$4,299.06 Total Cash]

07/23/2021 Brought +1,000 Shares \$3.8997 per share [\$3,900.50 Total Cash ]

07/23/2021 Sold -1,000 Shares \$3.971 per shares [\$3,970.05 Total Cash]

As of the end of 07/23/2021, I held 0 Shares of Meta Materials, Inc.

\*\*See Transaction Documentation Attached.

Apex Clearing Corporation  
350 N. St. Paul Street 1300  
Dallas, TX 75201

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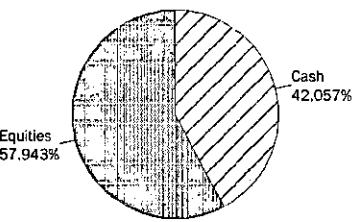
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DZUNG VU  
12 CHATEAU CIRCLE  
RIVIERA BEACH FL 33404-3732

## ► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$-1,571.09	\$5,436.47
NET ACCOUNT BALANCE	-1,571.09	5,436.47
Securities	30,760.00	7,490.00
TOTAL PRICED PORTFOLIO	30,760.00	7,490.00
Total Equity Holdings	\$29,188.91	\$12,926.47

## ► PORTFOLIO EQUITY ALLOCATION



## ► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Debit interest expense	\$19.02	\$204.20
Credit Interest	\$0.00	\$0.03

**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
APEX CLEARING  
CORPORATION  
MEMBER FINRA, NYSE and SIPC



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<b>► PORTFOLIO SUMMARY</b>									
DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	1,000	\$7.49	\$7,490.00		N/A		57.943%
<b>Total Equities</b>					<b>\$7,490.00</b>				<b>57.943%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$5,436.47</b>				<b>42.057%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$12,926.47</b>				
<b>► ACCOUNT ACTIVITY</b>									
TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT		
<b>BUY / SELL TRANSACTIONS</b>									
SOLD	06/03/21	M	WTS OUSTER INC WRNTS ECH WRL WRT EXCRSBL FOR ONE COMMON STICK AT \$11.50 UNSOLOCTED CUSIP: 68989M111	200	\$2.96			\$591.83	
BOUGHT	06/04/21	M	CALL AMC 06/11/21 .75 AMC ENTERTAINMENT HOLDINGS INC UNSOLOCTED OPEN CONTRACT Security Number: 8NXCW7	4	10			4,004.54	

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
BOUGHT	06/07/21	M	CALL AMC 06/11/21 70 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT Security Number: BPWBWR4	6	9	5,406.80	
BOUGHT	06/09/21	M	PUT AMC 06/11/21 49 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT AVERAGE PRICE TRADE DETAILS AVAILABLE UPON REQUEST Security Number: 8PVYNX1	2	3.915	785.26	
SOLD	06/09/21	M	PUT AMC 06/11/21 50, AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT AVERAGE PRICE TRADE DETAILS AVAILABLE UPON REQUEST Security Number: 9PVYNX3	2	4.365		870.71
SOLD	06/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDMLBL WRT ECH WHL WRT EXCL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	200	1.89		377.83
SOLD	06/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDMLBL WRT ECH WHL WRT EXCL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	200	1.88		375.83

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
SOLD	05/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDML WRT ECH WHL WRT EXCBL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	200	1.88		375.83
SOLD	06/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDML WRT ECH WHL WRT EXCBL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	600	1.88		1,127.51
SOLD	06/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDML WRT ECH WHL WRT EXCBL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	800	1.8828		1,505.59
SOLD	06/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDML WRT ECH WHL WRT EXCBL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	1,000	1.88		1,879.19
SOLD	06/11/21	M	WTS ATLAS CREST INVESTMENT CORP RDML WRT ECH WHL WRT EXCBL FOR CL A AT \$11.50 UNSOLICITED CUSIP: 049284110	1,000	1.88		1,879.19
SOLD	06/11/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 68989M111	730	4		2,919.40

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
BOUGHT	06/14/21	M	PUT AMC 06/11/21 50 AMC ENTERTAINMENT HOLDINGS INC UNSOLOCTED CLOSING CONTRACT Security Number: 9PVYNX3	2	5.64	1,128.27	
SOLD	06/14/21	M	CALL AMC 06/11/21 75 AMC ENTERTAINMENT HOLDINGS INC UNSOLOCTED CLOSING CONTRACT Security Number: 8NXBCW7	4	0.12		47.43
SOLD	06/14/21	M	PUT AMC 06/11/21 49 AMC ENTERTAINMENT HOLDINGS INC UNSOLOCTED CLOSING CONTRACT Security Number: 8PVYNX1	2	4.84		967.71
SOLD	06/14/21	M	CALL AMC 06/11/21 70 AMC ENTERTAINMENT HOLDINGS INC UNSOLOCTED CLOSING CONTRACT Security Number: 8PWBMW4	6	0.17		101.16
BOUGHT	06/21/21	M	CALL AMC 06/18/21 65 AMC ENTERTAINMENT HOLDINGS INC. UNSOLOCTED OPEN CONTRACT Security Number: 8PWBMW8	3	3	903.40	
SOLD	06/21/21	M	WTS LIGHTNING MOTORS INC RDMBL WRNTS ECH EXRCBLS FOR ONE SHR OF COM STOCK AT \$11.50 UNSOLOCTED CUSIP: 53228T119	100	1.70		169.91

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
SOLD	06/21/21	M	WTS LIGHTNING EMOTORS INC RDMBL WRNTS ECH EXRCBSL FOR ONE SHR OF COM STCK AT \$11.50 UNSOLICITED CUSIP: 53228T119	200	1.66		331.83
SOLD	06/21/21	M	WTS LIGHTNING EMOTORS INC RDMBL WRNTS ECH EXRCBSL FOR ONE SHR OF COM STCK AT \$11.50 UNSOLICITED CUSIP: 53228T119	3,700	1.66		6,139.00
SOLD	06/21/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSBL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 68989M111	200	2.99		597.83
SOLD	06/21/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSBL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 68989M111	200	2.9646		592.75
SOLD	06/21/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSBL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 68989M111	200	2.96		591.83
SOLD	06/21/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSBL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 68989M111	200	2.96		591.83

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
SOLD	06/21/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSBL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 66989M111	300	2.96		887.75
SOLD	06/21/21	M	WTS OUSTER INC WRNTS ECH WHL WRT EXCRSBL FOR ONE COMMON STCK AT \$11.50 UNSOLICITED CUSIP: 66989M111	1,970	2.96		5,829.60
SOLD	06/21/21	M	WTS PAYSAFE LIMITED WRNTS ECH WHL WRNT EXRCRCSBL FOR ONE COM SHR AT EXRCRS \$11.50 UNSOLICITED CUSIP: G6964L115	2,800	3.25		9,097.71
SOLD	06/21/21	M	CALL AMC 06/18/21 65 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED CLOSING CONTRACT Security Number: 8PWBMW8	3	3.20		959.57
BOUGHT	06/22/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK UNSOLICITED CUSIP: 21077C107	2,000	11.71	23,421.60	
BOUGHT	06/22/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK UNSOLICITED CUSIP: 21077C107	2,000	11.9692	23,940.00	

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
SOLD	06/22/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK UNSOLICITED CUSIP: 21077C107	2,000	11.9819		23,961.83
SOLD	06/22/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK UNSOLICITED CUSIP: 21077C107	2,000	11.74		23,478.05
BOUGHT	06/23/21	M	TORCHLIGHT ENERGY RESOURCES INC UNSOLICITED CUSIP: 89102U103	2,000	10	20,001.60	
BOUGHT	06/25/21	M	ALFI INC COMMON STOCK UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 00161P109	370	13.50	4,995.29	
SOLD	06/29/21	M	ALFI INC COMMON STOCK UNSOLICITED PRODUCT DESCRIPTION UNDER SEPARATE COVER CUSIP: 00161P109	370	14.50		5,364.64
<b>Total Buy / Sell Transactions</b>						<b>\$84,586.76</b>	<b>\$91,613.34</b>

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► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>DEBIT INTEREST</b>							
INTEREST	06/16/21	M	FROM 05/16 THRU 06/15 @ 8 % BAL 123- AVBAL 2,761			\$19.02	
<b>Total Debit Interest</b>						<b>\$19.02</b>	

## MISCELLANEOUS TRANSACTIONS

REV SPLIT	06/25/21	M	META MATLS INC COM RESULT OF REVERSE SPLIT CUSIP: 59134N104	1,000
REV SPLIT	06/25/21	M	TORCHLIGHT ENERGY RESOURCES INC REVERSE SPLIT @ 1:2 INTO 59134N104 CUSIP: 89102U103	-2,000

### **Total Miscellaneous Transactions**



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## ► ANNOUNCEMENTS

### IMPORTANT INFORMATION

#### Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$318,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

#### Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

#### Participation In Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

#### Information Regarding Cost Basis for Foreign Account Statements

**Foreign Currency:** Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulation section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

### IMPORTANT INFORMATION

#### To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.  
<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

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## ► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012;
- Debt securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.) Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

## IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. Please note SIPC does not cover commodity contracts and options on futures. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

## FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

## IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT



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I N D I V I D U A L A C C O U N T

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## ► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

A C C O U N T I D U A L I N D I V I D U A L

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## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.



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IN DIVIDUAL ACCOUNT

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► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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Apex Clearing Corporation  
350 N. St. Paul Street 1300  
Dallas, TX 75201

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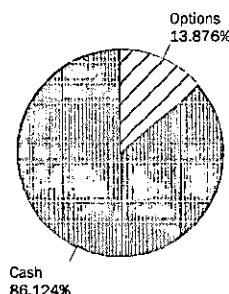
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12 CHATEAU CIRCLE  
RIVIERA BEACH FL 33404-3732

## ► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$5,436.47	\$3,103.39
NET ACCOUNT BALANCE	5,436.47	3,103.39
Securities	7,490.00	500.00
TOTAL PRICED PORTFOLIO	7,490.00	500.00
<b>Total Equity Holdings</b>	<b>\$12,926.47</b>	<b>\$3,603.39</b>

## ► PORTFOLIO EQUITY ALLOCATION



## ► INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Debit interest expense	\$1.37	\$205.57
Credit interest	\$0.04	\$0.07

See Reverse Side for Important Tax Information. This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
APEX CLEARING  
CORPORATION  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement. If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges in the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to option expiration and any other changes incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to random selects form among all customer short option positions including those contracts which are subject to cascade. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection:** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy provides available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregable, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on your broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements) of your account.

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. (FINRA) and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or their website at [www.finra.org](http://www.finra.org). Apex can on your account and acts as your custodian for funds and accounts deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inventory or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

List all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unlisted" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Canceled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, redemptions and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, A=RP/DVP, and O=Other**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTION:**

Displays mutual funds by average cost and current securities by index, at tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transfer's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATION OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:** The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationships with such venues. In addition, the Rule (SEC 605) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

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## ► PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
PUT AMD 07/30/21 104 ADVANCED MICRO DEVICES INC EXP 07/30/2021	8NMJGM9	M	-20	Not Available			N/A		N/A
CALL MMAT 08/20/21 5 META MATLS INC EXP 08/20/2021	8NYNDX3	M	20	0.25	500.00		N/A		13.876
META MATLS INC PFD SER A	59134N203	M	2,000	Not Available			N/A		N/A
Total Equities					\$500.00				13.876%
Total Options									
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$3,103.39</b>				<b>86.124%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$3,603.39</b>				

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## ► ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	07/08/21	M	META MATLS INC PFD SER A SPINOFF ON 2000 SHS TORCHLIGHT ENERGY RESOURCES REC 06/24/21 PAY 06/25/21 AS OF 07/07/21 CUSIP: 59134N203	2,000			
BOUGHT	07/09/21	M	CALL AAPL_07/16/21_145 APPLE INC UNSOLICITED OPEN CONTRACT Security Number: 8GQLKQ9	65	1.24	8,078.75	
SOLD	07/09/21	M	CALL AAPL_07/16/21_145 APPLE INC UNSOLICITED CLOSING CONTRACT Security Number: 8GQLKQ9	65	1.42		9,221.06
BOUGHT	07/12/21	M	CALL AAPL_07/23/21_150 APPLE INC UNSOLICITED OPEN CONTRACT Security Number: 8PVQRV1	80	1.06	8,500.78	
BOUGHT	07/13/21	M	CALL AAPL_07/23/21_150 APPLE INC UNSOLICITED OPEN CONTRACT Security Number: 8PVQRV1	35	0.66	2,324.71	
SOLD	07/14/21	M	META MATLS INC COMMON STOCK UNSOLICITED CUSIP: 59134N104	1,000	4.30		4,299.06

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
SOLD	07/14/21	M	CALL AAPL 07/23/21 150 APPLE INC UNSOLICITED CLOSING CONTRACT Security Number: 8PVQRV1	20	1.13	2,257.25	
SOLD	07/14/21	M	CALL AAPL 07/23/21 150 APPLE INC UNSOLICITED CLOSING CONTRACT Security Number: 8PVQRV1	56	1.13	6,320.44	
SOLD	07/14/21	M	CALL AAPL 07/23/21 150 APPLE INC UNSOLICITED CLOSING CONTRACT Security Number: 8PVQRV1	5	1.13	564.31	
SOLD	07/14/21	M	CALL AAPL 07/23/21 150 APPLE INC UNSOLICITED CLOSING CONTRACT Security Number: 8PVQRV1	33	1.13	3,724.47	
SOLD	07/14/21	M	CALL AAPL 07/23/21 150 APPLE INC UNSOLICITED CLOSING CONTRACT Security Number: 8PVQRV1	1	1.14	113.86	
BOUGHT	07/16/21	M	CALL AAPL 07/16/21 148 APPLE INC UNSOLICITED OPEN CONTRACT Security Number: 8LSWFV4	60	0.92	5,538.08	

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
BOUGHT	07/22/21	M	CALL MMAT 08/20/21 5 META MATLS INC UNSOLICITED OPEN CONTRACT Security Number: BNYNDX3	20	0.50	1,012.69	
BOUGHT	07/22/21	M	CALL AMC 07/30/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT Security Number: BPXGRT1	10	4.75	4,761.35	
BOUGHT	07/22/21	M	CALL AMC 07/30/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT Security Number: BPXGRT1	1	5.70	571.13	
SOLD	07/22/21	M	CALL AMC 07/30/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED CLOSING CONTRACT Security Number: BPXGRT1	1	5.80		579.85
BOUGHT	07/23/21	M	META MATLS INC COMMON STOCK UNSOLICITED CUSIP: 59134N104	1,000	3.8997	3,900.50	
BOUGHT	07/23/21	M	CALL AMC 08/06/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT Security Number: 8LTBTK4	4	3.68	1,476.54	

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS (continued)</b>							
BOUGHT	07/23/21	M	CALL AMC 08/06/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED OPEN CONTRACT Security Number: 8LTBTK4	6	3.68	2,214.80	
SOLD	07/23/21	M	META MATLS INC COMMON STOCK UNSOLICITED CUSIP: 59134N104	1,000	3.971		3,970.05
SOLD	07/23/21	M	CALL AMC 07/30/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED CLOSING CONTRACT Security Number: 8PXGRT1	4	1.90		759.45
SOLD	07/23/21	M	CALL AMC 07/30/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED CLOSING CONTRACT Security Number: 8PXGRT1	6	1.90		1,139.17
SOLD	07/27/21	M	CALL AMC 08/06/21 45 AMC ENTERTAINMENT HOLDINGS INC UNSOLICITED CLOSING CONTRACT Security Number: 8LTBTK4	10	3.10		3,098.61
<b>Total Buy / Sell Transactions</b>						<b>\$38,379.33</b>	<b>\$36,047.58</b>

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	07/16/21	M	INTEREST ON CREDIT BALANCE AT 0.010% 05/16 THRU 07/15 CUSIP: 00099A109			\$0.04	
<b>Total Dividends And Interest</b>							\$0.04
<b>DEBIT INTEREST</b>							
INTEREST	07/16/21	M	FROM 06/16 THRU 07/15 @ 8 % BAL 13,032- AVBAL 205			\$1.37	
<b>Total Debit Interest</b>							\$1.37
<b>MISCELLANEOUS TRANSACTIONS</b>							
EXPIRED	07/16/21	M	CALL AAPL 07/16/21 148 APPLE INC OPTION EXPIRATION - EXPIRED Security Number: 8LSWFV4	-60			
EXPIRED	07/30/21	M	PUT AMD 07/30/21 104 ADVANCED MICRO DEVICES INC OPTION EXPIRATION - EXPIRED Security Number: 8NMJGM9	-20			
<b>Total Miscellaneous Transactions</b>							

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**► EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES**

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	07/30/21	08/02/21	M	PUT AMD 07/30/21 104 ADVANCED MICRO DEVICES INC UNSOLICITED OPEN CONTRACT Security Number: 8NMJGM9	10	\$0.21	\$221.34	
BOUGHT	07/30/21	08/02/21	M	PUT AMD 07/30/21 104 ADVANCED MICRO DEVICES INC UNSOLICITED - OPEN CONTRACT Security Number: 8NMJGM9	3	0.39	120.40	
BOUGHT	07/30/21	08/02/21	M	PUT AMD 07/30/21 104 ADVANCED MICRO DEVICES INC UNSOLICITED OPEN CONTRACT Security Number: 8NMJGM9	7	0.39	280.94	
SOLD	07/30/21	08/02/21	M	CALL MMAT 08/20/21 5 META MATLS INC UNSOLICITED CLOSING CONTRACT Security Number: 8NYNDX3	-20	0.25		497.26
<b>Total Executed Trades Pending Settlement</b>							<b>\$622.68</b>	<b>\$497.26</b>

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## ANNOUNCEMENTS

### IMPORTANT INFORMATION

#### Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,857 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

#### Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

#### Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

#### Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

### IMPORTANT INFORMATION

#### To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.  
<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

INDIVIDUAL ACCOUNT

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## ► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009. SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders." In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012;
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.) Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

## IMPORTANT INFORMATION CONTINUED

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. Please note SIPC does not cover commodity contracts and options on futures. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

## FDIC SWEEP PROGRAM

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

## IMPORTANT INFORMATION

APEX CLEARING CORPORATION DISCLOSURE STATEMENT



1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

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## ► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

1000 W. FULTON MARKET, CHICAGO, IL 60607 | 312.724.7075

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## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[ps@apexclearing.com](mailto:ps@apexclearing.com)

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